

ORDINANCE _____, SERIES 2009

AN ORDINANCE AMENDING CHAPTER 21 OF THE
LOUISVILLE/JEFFERSON COUNTY METRO
GOVERNMENT CODE OF ORDINANCES [LMCO]
RELATING TO ETHICS

PRIMARY SPONSOR: Councilman Ken Fleming, District 7

**NOW THEREFORE, BE IT ORDAINED BY THE LEGISLATIVE COUNCIL OF THE
LOUISVILLE/JEFFERSON COUNTY METRO GOVERNMENT [THE COUNCIL] AS
FOLLOWS:**

Section I: LMCO Chapter 21 is hereby amended to read as follows:

§ 21.01 DEFINITIONS.

As used in this subchapter, the following terms shall have their given definition.

AGENCY. An authority, board, branch, bureau, commission, committee,
department, division, office, or other instrumentality of the Louisville-Jefferson County
Metro Government.

APPOINTING AUTHORITY. The Metro Mayor, or any of his/her designated
subordinates, who appoint the non-elected Metro Officers covered under this
subchapter.

BUSINESS ORGANIZATION. Any corporation, partnership, sole proprietorship, firm,
enterprise, franchise, association, organization, self-employed individual, holding
company, joint stock company, receivership, trust, professional service corporation, or
any other legal entity through which business is conducted for profit.

CONFIDENTIAL INFORMATION. Any information not subject to public disclosure pursuant to the Kentucky Open Records Act, KRS 61.872 to 61.884, at the time of its disclosure or use.

FINANCIAL BENEFIT. Any money, service, license, permit, contract, authorization, loan, travel, entertainment, hospitality, gratuity, or any promise to provide any of these, or anything else of value. This term does not include campaign contributions authorized by law.

INTEREST. The ownership or control of more than 5% of the profits, assets, or stock of a business; or holding a position as a principal or officer of any nonprofit entity including, but not limited to, a labor organization.

MEMBER OF IMMEDIATE FAMILY. ~~A parent, sibling, spouse, or child living in the Metro Officer's household or any person who is a member of the Metro Officer's household, or a person claimed by a Metro Officer or a Metro Officer's spouse as a dependent for tax purposes.~~ "Family" means spouse and children, as well as a person who is related to a public servant as any of the following, whether by blood or adoption: parent, brother, sister, grandparent, grandchild, father-in-law, mother-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, and half sister.

METRO OFFICER For the purpose of this ordinance, the following persons shall be defined as a Metro Officer:

(A) Any person elected or appointed to the office of:

_____ (1) Metro Mayor

_____ (2) Metro Council member

_____ (3) County Attorney

_____ (4) Sheriff

_____ (5) County Clerk

_____ (6) Surveyor

_____ (7) Constable, or

_____ (8) Coroner;

_____ (B) Any person appointed as:

_____ (1) Deputy Mayor

_____ (2) Cabinet Secretary

_____ (3) Chief Deputy

_____ (4) Chief Administrative Officer

_____ (5) Chief of Operations

_____ (6) Agency Director

_____ (7) Department Director for Metro Government, or

_____ (8) Any such other similar managerial type position in Metro

Government as provided in subsections (A) and (B) of this definition;

(C) Any position as determined by a person identified in subsection (A) of this section that has the authority to enter into contracts over \$10,000 in value or make purchases of goods or services over \$10,000 in value; or

(D) Any person nominated or appointed by the Metro Mayor or the Metro Council to a Metro Agency who has regulatory authority or has independent authority to expend public funds.

~~Any person elected or appointed to the office of Louisville/Jefferson County Metro Mayor, Metro Council member, County Attorney, Sheriff, County Clerk, Coroner, Surveyor or Constable; and any person appointed as a deputy mayor, cabinet secretary, chief deputy, chief administrative officer, chief of operations, agency director or department director for the Louisville/Jefferson County Metro Government, or any such other similar managerial type position, as shall be determined by each elected or appointed Metro Officer designated hereinabove; and any person nominated or appointed by the Metro Mayor or the Metro Council to a Metro Agency which has regulatory authority or has independent authority to expend public funds.~~

NONPROFIT ORGANIZATION Any corporation, partnership, sole proprietorship, firm, enterprise, franchise, association, organization, self-employed individual, receivership, trust, or any other legal entity through which business is not conducted for profit.

SUBORDINATE A Metro Officer or employee over whose activities another Metro Officer has direction, supervision, or control.

§ 21.02 STANDARDS OF CONDUCT

In furtherance of the public trust assumed by Metro Officers upon their election or appointment to public office or employment, the following standards of conduct shall be applicable:

(A) Any person elected or appointed to the office of Louisville/Jefferson County Metro Mayor, Metro Council member, County Attorney, Sheriff, County Clerk, Coroner, Surveyor, or Constable shall, upon enactment of this ordinance and on or before July 31st of each year thereafter, file with the Ethics Commission a listing of all positions under their direct supervision with managerial type authority or the authority to enter into contracts over \$10,000, or make purchases over \$10,000.

(A) (B) No Metro Officer or member of his/her ~~immediate~~ family shall have an interest in a business organization or engage in any business, transaction, or professional activity, which is in conflict with the proper discharge of such officer's duties in the public interest.

(B) (C) No Metro Officer shall use or attempt to use his/her official position to secure unwarranted privileges or advantages for himself/herself, members of his/her immediate family or other persons.

(C) (D) No Metro Officer shall act in his/her official capacity in any matter where such officer, a member of his/her ~~immediate~~ family, or a business organization in which such officer has an interest, has a direct or indirect financial or personal involvement

that might reasonably be expected to impair his/her objectivity or independence of judgment.

(E) No Metro Officer shall undertake any employment or service, compensated or not, which might reasonably be expected to prejudice such officer's independence of judgment in the exercise of his/her official duties.

(F) No Metro Officer in his/her official capacity may publicly endorse products or services that are commercial in nature in exchange for any financial benefit.

(E) (G) No Metro Officer, members of his/her ~~immediate~~ family, or business organization, nonprofit entity, or labor organization in which such officer has an interest, shall solicit or accept any gift, favor, loan, political contribution, service, economic opportunity, promise of future employment, or other thing of value based upon an understanding, or under circumstances from which it could reasonably be inferred, that the gift, favor, loan, contribution, service, promise, or other thing of value was given or offered:

(1) For the purpose of influencing such officer, directly or indirectly, in the discharge of his/her official duties; or

(2) For the purpose of gaining access to the Metro Officer.

(3) Nothing herein shall be construed to apply to the solicitation or acceptance of contributions to the campaign of announced candidate for elective public office as governed by applicable provisions of the Kentucky Revised Statutes.

(F) (H) No Metro Officer, however, shall be prohibited from giving or receiving:

(1) An award publicly presented in recognition of public service;

(2) Commercially reasonable loans made in the ordinary course of the lender's business; or

(3) Reasonable hosting, including entertainment, meals or refreshments furnished in connection with public events, appearances, or ceremonies.

~~(G)~~ (I) No Metro Officer authorized and qualified to solemnize a marriage shall be prohibited from accepting a gratuity for performing such ceremony.

~~(H) (J) No Metro Officer shall use, or allow to be used, his/her public office, or any information, not generally available to the members of the public, which such officer receives or acquires in the course and by reason of his/her office, for the purpose of securing financial gain for himself/herself, any member of his/her immediate family, or any business organization with which such officer is associated. No Metro Officer shall represent any person or party other than the local government in connection with any cause, proceeding, application or other matter pending before any Agency.~~

~~(I) No Metro Officer or business organization in which such officer has an interest shall represent any person or party other than the local government in connection with any cause, proceeding, application or other matter pending before any county agency.~~

~~(J) (K)~~ No Metro Officer shall be deemed in conflict with these provisions if, by reason of such officer's participation in the enactment of any ordinance, resolution or

other matter required to be voted upon, no material or monetary gain accrues to such officer as a member of any business, profession, occupation or group, to any greater extent than any gain could reasonably be expected to accrue to any other member of such business, profession, occupation or group.

(K) ~~(L)~~ No Metro Officer shall be prohibited from making an inquiry for information or providing assistance on behalf of a citizen or constituent, family member, and/or himself/herself if no fee, reward or other thing of value is promised to, given to, or accepted by, the officer or a member of his/her immediate family, whether directly or indirectly, in return ~~therefor~~.

(M) No Metro Officer shall use, or permit to be used, his/her public office, or any confidential information for the purpose of securing financial benefit for himself/herself, any member of his/her family, or any business or nonprofit organization with which he/she is associated.

~~(L)~~ (N) Nothing in these standards of conduct shall prohibit any Metro Officer, ~~or members of his/her immediate family~~, from representing himself/herself, ~~or themselves~~, in negotiations or proceedings concerning the Metro Officer's own interests, nor shall it prohibit any family member of a Metro Officer from representing himself/herself in negotiations or proceedings concerning the family member's ~~his/her, or their~~, own interests.

§ 21.03 TRANSACTIONS WITH SUBORDINATES

No Metro Officer shall compel a subordinate or any person or business or nonprofit organization over which, in the Metro Officer's official duties and responsibilities, he or she exercises supervisory responsibility, to engage in a financial transaction, including the giving or receiving of loans or monetary contributions, including charitable contributions.

§ 21.04 INAPPROPRIATE POLITICAL SOLICITATION

(A) No Metro Officer or candidate seeking an office covered by this ordinance shall compel any subordinate to participate in an election campaign or ballot referendum, or make a political contribution.

(B) No Metro Officer or candidate seeking an office covered by this ordinance shall engage in any political activity:

(1) While acting in any capacity for the Louisville Metro Government; or

(2) With the use of any government funds, supplies, vehicles, or facilities.

(C) No Metro Officer or candidate seeking an office covered by this ordinance shall engage in inappropriate political activity including:

(1) Using Metro Government employees while still on duty to work at meetings where the purpose of the meeting is to endorse candidates for political office;

(2) Sending e-mails using Metro Government resources which advocate the candidacy of a person for political office;

(3) Creating and/or transferring a list, including, but not limited to, a paper or electronic-based list, using Metro Government resources for the purpose of engaging in political activity; and

(4) Using Metro Government resources to establish and/or transfer a website domain name in a Metro Government officeholder's official capacity for the purpose of engaging in political activity.

§ 21.05 COMPLICITY WITH OR KNOWLEDGE OF OTHER'S VIOLATIONS

No Metro Officer shall, directly or indirectly, aid, induce, or encourage anyone to violate any provision of this Ethics Code. If a Metro Officer has knowledge that someone has violated this Ethics Code, he or she is required to report it to the Ethics Commission.

§ 21.06 CONFLICT OF INTEREST

(A) No Metro Officer may use his/her official position or office, or take or fail to take any action, or influence others to take or fail to take any action, which provides a financial benefit, not shared with a substantial segment of the Metro population, for any of the following persons or entities:

(1) Himself/herself, or a member of his/her family;

(2) A substantial customer, client, debtor, creditor of his/hers, or a member of his/her family.

(3) A nongovernmental civic group, union; social, charitable, or religious organization; or any non-profit organization of which he/she or his/her spouse

is an officer, director, or holds any appointed position entailing the receipt, distribution or management of funds or Metro Officer receives compensation.

_____ (B) Subsection (A) shall not prohibit a member of the Metro Council from voting on any measure, resolution, or ordinance that may come before the Metro Council, if there is no direct financial benefit to the Council Member or to his/her family and the Council Member discloses the potential conflict to the Metro Council prior to the vote.

§ 21.07 MISUSE OF LOUISVILLE METRO GOVERNMENT PROPERTY AND REIMBURSEMENTS

_____ No Metro Officer may use, or permit others to use, any property owned, directly controlled, or maintained by Louisville Metro Government for profit or personal convenience or benefit, except:

_____ (1) When available to the public on the same terms and conditions;

_____ (2) When permitted by policies approved by ordinance of the Louisville Metro Council; or

_____ (3) When, in the conduct of official business, such property is used in an incidental way for personal convenience. This applies not only to objects such as cars and trucks, but also to travel and other expense reimbursements, which may not be requested for or spent on anything other than official business.

§ 21.03(8) FINANCIAL DISCLOSURE

(A) Metro Officers shall be required to file with the Louisville/Jefferson County Metro Ethics Commission [the "Commission"] a financial disclosure statement on a form provided by the Commission and signed under oath by the filer. The financial disclosure statement shall include all of the following information:

- (1) Name of filer;
- (2) Current business address, business telephone number and home address of filer;
- (3) Title of filer's public office or elected office sought;
- (4) Occupations of filer and spouse;
- (5) The name, address, and telephone number of each business organization doing business with the Louisville/Jefferson County Metro Government, or any Metro Agency, or any Metro Officer, in which the filer or any member of the filer's immediate family has:
 - (a) An interest of \$10,000 at fair market value or 5% ownership interest or more; or
 - (b) Received compensation in excess of \$5,000 during the preceding calendar year. If the interest is the ownership of publicly traded securities, or publicly traded securities are the source of income, the interest need not be reported unless the officer or immediate family member owns 5% or more of the total value of such publicly traded securities.

(6) The location and zoning designation of all real property within Jefferson County, other than the filer's primary residence, in which the filer or any members of the filer's immediate family had an interest of \$10,000 or more during the preceding calendar year and which is the subject of any condemnation proceeding, any regulatory or enforcement proceeding before the Metro Planning Commission, or any proceeding before any other administrative body or court of law wherein the Louisville/Jefferson County Metro Government or any Metro Agency or Metro Officer is an interested party.

(7) List any position held with any business or nonprofit organization which has received (within the past two years) or receives any funds from Metro Government.

(B) (1) The financial disclosure statement shall be filed annually by Metro Officers no later than April 1 of each year. Newly appointed Metro Officers shall be required to file their initial statement no later than 21 days after the date of appointment. Any material change in the information required by subsections (A)(5) or (6) such as to cause previously submitted information to no longer be accurate or complete, shall be reported in writing to the Ethics Commission within ten business days after the affected Metro Officer knows, or reasonably should know of that circumstance.

~~(2) The term "material change" under subsection (B)(1), shall include any gift, loan, gratuity, discount, favor, service or economic opportunity of significant value or having an aggregate value of \$25 or more which the Metro Officer believes in good faith to be exempt from the application of § [21.02](#).~~

(3) ~~(2)~~ A Metro Officer who is in office as of the effective date of this ~~subchapter~~ ordinance, and who has filed a financial disclosure form with an ethics board, agency, or office under the jurisdiction of Jefferson County or the former City of Louisville within the 12-month period preceding the effective date of this ~~subchapter~~ ordinance, shall not be required to make a filing under this section until April 1, 2003, or within 21 days after the effective date of this ~~subchapter~~ ordinance, whichever date is later.

~~(4)~~ (3) A Metro Officer who is in office as of the effective date of this ~~subchapter~~ ordinance, and who has not filed a financial disclosure form with an Ethics Board, agency, or office under the jurisdiction of Jefferson County or the former City of Louisville within the 12-month period preceding the effective date of this ~~subchapter~~ ordinance, shall be required to make a filing under this section by April 1, 2003, or within 21 days after the effective date of this ~~subchapter~~ ordinance, whichever date is earlier.

(C) When any Metro Officer, or any member of his/her ~~immediate~~ family, shall have any private financial interest, directly or indirectly, in any contract or matter pending before or within his/her office, or any Metro Agency, the Metro Officer shall disclose such private interest to the Commission, the governing body of the affected Metro Agency and, if the contract or matter requires formal action by the Metro Council, to the Metro Council.

(D) Any member of the Metro Council, or the County Attorney, as well as any Metro Officer who derives his/her authority from the Metro Council or from the County Attorney, or a member of any such person's ~~immediate~~ family, who has a private interest in any matter pending before the Metro Council shall disclose such private

interest on the records of the Metro Council and shall disqualify himself/herself from participating in any debate, vote, or proceeding whatsoever relating thereto. Any matter pertaining to a Metro Officer's budget or the operation of such officer's office, agency or department, including a Metro Officer's salary, shall not be construed as a "private interest".

§ 21.04(9) NEPOTISM

(A) A member of the ~~immediate~~ family of a Metro Officer shall not be given preference for employment or appointment to a position in a Metro Agency. ~~if a more qualified person has made application for the same position.~~

(B) No Metro Officer shall act in his/her official capacity to hire, or caused to be hired any member of his/her ~~immediate~~ family at an hourly pay rate or with benefits in excess of any other employee with similar job duties, responsibilities and qualification requirements.

(C) No Metro Officer shall exercise direct management or supervisory authority over any member of his/her ~~immediate~~ family; nor shall any Metro Officer exercise contract management authority where any member of his/her ~~immediate~~ family is employed by or is under contract to any vendor who is subject to such officer's direct authority or management.

(D) After the effective date of this ~~subchapter~~ (ordinance), a member of the ~~immediate~~ family of the Mayor, a deputy Mayor, a member of the Metro Council, County Attorney, Sheriff, County Clerk, Coroner, Surveyor and Constable shall not be employed

by or appointed to a position with such elected official's office. Any members of the immediate family of the Metro Officers named in this section employed or serving in a position within the office of such Metro Officer on the effective date of this ~~subchapter~~ ordinance shall be excluded from the prohibition contained in this section.

§ 21.05(10) LOUISVILLE/ JEFFERSON COUNTY ETHICS COMMISSION

(A) A Louisville/Jefferson County Metro Government Ethics Commission (hereafter, the "Ethics Commission") is hereby created which shall be responsible for the enforcement and administration of the Code of Ethics adopted in this subchapter in the manner set forth in this subchapter. When requested by a Metro Officer, the Ethics Commission shall issue an advisory opinion concerning acts or activities covered by this ~~subchapter~~ ordinance. Such opinions shall be public and shall not disclose the identity of persons associated with the opinion. Confidential opinions may be issued, if requested by the Metro Officer or Metro Agency submitting the question only if the subject is exempt from disclosure pursuant to KRS 61.878.

(B) (1) The investigation and determination of whether a Metro Officer has committed any violation of this ~~subchapter~~ ordinance shall be the responsibility of the Ethics Commission.

(2) When requested by an appointing authority, the Ethics Commission shall have authority to issue an opinion concerning whether or not an act or activities undertaken by a Metro Officer constitute a violation of this ~~subchapter~~ ordinance. The

Ethics Commission shall have authority to adjudicate factual issues, and to determine whether the alleged act or activity constitutes a violation of this ~~subchapter~~ ordinance.

(C) The Ethics Commission shall consist of seven members appointed by the Metro Mayor and approved by the Metro Council. ~~However, for the first year of the Ethics Commission only, two additional members from the former Jefferson County Ethics Commission shall serve as advisory and non-voting members for a one-year term commencing on the date of their appointment to the Ethics Commission. One of these members shall be a registered Democrat selected by the Majority Caucus of the Metro Council, and the other member shall be a registered Republican selected by the Minority Caucus of the Metro Council. The entire Metro Council must approve these two advisory, non-voting members. Ethics Commission members shall not be persons who are Metro Officers or employees of the Metro Government, and they shall be chosen by virtue of their known and consistent reputation for integrity and their knowledge of local government affairs. No two Ethics Commission members shall reside in the same Metro Council district. For the initial appointments of the voting members to the Ethics Commission, two members shall serve one-year terms; three members shall serve two-year terms; and two members shall serve three-year terms. Thereafter, such a member of the Ethics Commission shall serve for a term of three years or until his/her successor is appointed. In addition, such Ethics Commission members may be reappointed for one consecutive term and shall not be eligible for reappointment until one year after the expiration of his/her last term. An Ethics Commission member may be removed for reasons of malfeasance or neglect of duty by the Metro Council. Vacancies, whether by death, resignation, or removal, shall be filled~~

~~in the same manner as original appointments. Ethics Commission members shall serve without compensation. No more than three of the members of the Ethics Commission shall be of the same political party, and at least one member shall be a registered Independent.~~ As of the effective date of this ordinance, any new appointments must be approved by at least a two-thirds majority (18 members) vote of the Metro Council. Members of the Ethics Commission shall be chosen by virtue of their known and consistent reputation for integrity and their knowledge of local government affairs. No two Ethics Commission members shall reside in the same Metro Council district. A member of the Ethics Commission shall serve for a term of three years or until his/her successor is appointed. In addition, such Ethics Commission members may be reappointed for one consecutive term and shall not be eligible for reappointment until one year after the expiration of his/her last term. An Ethics Commission member may be removed in accordance with the provisions of subsection (I) of this Section 21.10. No more than three of the members of the Ethics Commission shall be of the same political party, and at least one member shall be a registered Independent.

(D) Unless otherwise stated, all Ethics Commission decisions or determinations must be made by the affirmative vote of at least four (4) sitting members.

(E) Members of the Ethics Commission shall not receive compensation but shall be reimbursed for reasonable expenses incurred in the performance of their official duties.

(F) No member of the Ethics Commission may be, or have been within the three years prior to appointment:

(1) An appointed official or employee of Louisville Metro Government;

(2) Held office in a political party at the executive committee level or above;

(3) Be employed or act as a "lobbyist" as defined by KRS 11A.010(11);
or

(4) Be a member of a Metro Officer's family.

(G) The absence of any member from three consecutive meetings, unless the Ethics Commission has excused the absence for good and sufficient reason, shall constitute a resignation.

(H) When a vacancy occurs in the membership of the Ethics Commission, the vacancy shall, within 60 days, be filled for the unexpired portion of the term in the same manner as regular appointments. Any person appointed to fill a vacancy on the Ethics Commission must meet the qualifications and limitations set forth in this ordinance.

(I) An Ethics Commission member may be removed from office by at least a two-thirds majority of the Metro Council, after written notice, including a clear statement of the grounds for removal, and opportunity for reply, at least 30 days before voting on removal. The sole grounds for removal shall be failure to meet the qualifications or limitations set forth in this code, neglect of duty, gross misconduct in office, inability to discharge the powers or duties of office, or a violation of this ordinance.

(J) Any person aggrieved by an advisory opinion of the Ethics Commission may seek judicial review and relief as provided by law.

(K) The Ethics Commission shall provide a copy of this ordinance via certified mail to each person who becomes a candidate covered under its jurisdiction within ten business days after the filing deadline for such offices. Within 30 days from the date of receipt thereof each such candidate shall be required to sign a document acknowledging receipt of a copy of this Ethics Code and which receipt shall contain a voluntary pledge to adhere to its provisions. Each such candidate shall be required to return this signed document to the Ethics Commission.

~~(D)~~ (L) Within 60 days of the effective date of this ~~subchapter~~ ordinance, the Ethics Commission shall draft and submit to the Metro Council its rules and regulations for the administration of this ~~subchapter~~ ordinance and the conduct of its meetings, including, but not limited, to maintenance of financial disclosure statements, issuance of opinions and imposition of penalties for violations of this Code. If the Metro Council does not disapprove of the Ethics Commission's rules and regulations within 45 days after submission to the Council, such rules and regulations shall go into effect on the 46th day after submission.

~~(E)~~ (M) There is hereby created the position of Legal Counsel to the Ethics Commission. The Ethics Commission may employ the Legal Counsel on contract or may designate the Jefferson County Attorney, or a member of his/her staff as Legal Counsel; provided that if Legal Counsel is employed under contract, neither employed counsel nor any attorney with whom employed counsel has any affiliation or association shall be employed or under contract in any capacity with Metro Government.

(N) The Ethics Commission shall be authorized to render Informal Advisory Opinions, within 24 hours of the request, concerning interpretation of the Ethics Code as applied to a given state of facts. The Informal Advisory Opinion should address only prospective conduct of the Metro Officer making the request for the Opinion. Opinions may be given orally or in writing. A Metro Officer obtaining an Informal Advisory Opinion may submit reliance upon such Opinion as a defense to a complaint before the Ethics Commission. The Ethics Commission may provide the Informal Advisory Opinions to any Metro Officer requesting such Opinion regarding their own prospective conduct. The identity of the requesting Metro Officer shall be kept confidential unless waived by the Metro Officer. The Ethics Commission shall create and publish appropriate guidelines for implementation of a program for Informal Advisory Opinions consistent with this section.

(F) (O) The Metro Human Resources Department shall provide reasonable and necessary staff support for the operation of the Ethics Commission.

(G) (P) The Ethics Commission shall be the official custodian of financial disclosure statements to be filed under this subchapter.

(H) (Q) (1) The Ethics Commission shall conduct at least one annual training and review session open and available to all Metro Officers, and such other training and review activities as shall from time to time be requested by the Metro Mayor or the Metro Council.

(2) All Metro Officers in office on the effective date of this subchapter shall be required to attend one training session conducted by the Ethics Commission within 12 months of the effective date of this subchapter and at least once every 24 months thereafter. All Metro Officers elected or appointed after the effective date of this subchapter shall be required to attend one training session conducted by the Ethics Commission within 12 months of his/her election or appointment, and at least once every 24 months thereafter.

(R) The Ethics Commission shall prepare and submit an annual report to the Metro Council, summarizing the activities, decisions, and advisory opinions of the Commission. In addition, the report shall include copies of all financial disclosure forms that have been filed with the Commission. The annual report may also recommend changes to the text or administration of this Ethics Code. The annual report must be submitted no later than July 31st of each fiscal year, covering to the fiscal year ending June 30th, and must be filed with the Metro Council Clerk. The annual report shall be made available on the Metro website with a statement that financial disclosure forms are available for public inspection in the office of the Metro Council Clerk. On a monthly basis, a report must be prepared and submitted to Metro Council if any pending advisory decisions or opinions have been pending for more than 180 days from the date of the complaint or request. The report shall summarize the Commission's actions on the request or complaint, reasons for delay, and an anticipated time frame for issuance of a decision.

(S) The Ethics Commission shall at least every four years review this Ethics Code, the enforcement of the Ethics Code, and the Commission's rules, regulations,

and administrative procedures to determine whether they promote integrity, public confidence, and participation in Louisville Metro Government, and whether they set forth clear and enforceable, common-sense standards of conduct. After at least one public hearing, the Commission may recommend to the Metro Council amendments to this Ethics Code.

§ 21.06(11) COMPLAINTS

- (A) Written complaints against Metro Officers which allege violations of this subchapter may be filed by any person with the Ethics Commission.
- (B) The Commission may not base a complaint on unsworn verbal or written reports made to it concerning a Metro Officer. The Commission may amend a complaint that has been filed with it by deleting allegations that would not constitute a violation of this Ethics Code, or by deleting allegations against persons or entities not covered by this Ethics Code.
- (C) Written complaints against Metro Officers shall be filed within one year of the date upon which the violation occurred. Written complaints may be filed against Metro Officers who no longer hold office or are no longer employed by Metro Government, provided that the complaint concerns violations arising during the course of their employment.
- (D) Any Metro Officer who is the subject of a complaint filed with the Ethics Commission shall be afforded due process by the Commission including, but not limited to, all of the following rights:

(1) Any complaint filed against an Officer shall be sworn. The complaint shall be filed on a form which shall be provided by the commission and will contain the following information:

(a) The complaint shall state the individual's name and address and contact information including telephone number, as well as fax number and e-mail address, if the complaining party has same;

(b) The complaining party shall state in detail what facts and circumstances he/she has to support the violation, including all acts or omissions committed by the Officer;

(c) The complaining party shall file with the complaint all documents, recordings, pictures and other information which support the basis for the ethical violation by the officer; and

(d) The complaining party shall provide the names and addresses of all individuals which the complaining party believes have information to support the violation along with a summary of what information the complaining party believes each in the individuals has to support the alleged violation.

(2) A certified copy of the complaint or any amendment thereto shall be personally served only on the Officer named in the complaint by the Commission within ten [10] days of its filing with the Commission.

(3) The Officer shall be given no less than twenty [20] days to respond to a complaint or any amendment thereto.

(4) No person shall be compelled to answer questions, to speak or to testify in connection with any complaint against an Officer or a proceeding before the Commission involving an Officer, as a condition of continued employment.

(5) An Officer who is the subject of any proceedings before the Commission shall be given not less than ten (10) days notice of the date, time, and place of each proceeding, the notice to include a description of the matters to be heard at such proceedings together with copies of any motions or other documents to be considered in connection with the noticed proceedings whether in written or electronic form; any individual who offers facts pertaining to the complaint shall testify under oath; only the party filing the complaint and those individuals listed on the complaint, or a supplemental list of names provided by the complaining party in accordance with section (D)(1)(d) above and provided not less than 10 days prior to the proceedings, shall be permitted to testify in support of the violation by the officer; furthermore, only documents filed with the commission at the time of the institution of the complaint, or supplemented not less than 10 days prior to the proceedings, shall be considered by the commission. The names and information of all individuals and documents provided by the complaining party shall be immediately forwarded to the Officer.

(6) Any materials/names not furnished to the Commission/Officer in compliance with subsection (D)(1)(d) above, shall not be used for any purpose in any proceeding.

(7) If any hearing before the Commission is based upon a complaint of an individual, not less than ten [10] days before the date of the hearing, the individual

shall be notified to appear at the time and place of the hearing by certified mail, with delivery confirmation either by return receipt or electronic confirmation. If the individual does not appear, except where due to circumstances beyond his/her control, any complaint made by that individual shall not be considered by the hearing authority and shall be dismissed with prejudice.

(8) The Officer shall have the right to obtain counsel.

(9) The Officer shall be permitted to present to the Commission, at any proceeding before the Commission involving an Officer, or otherwise, any witnesses or any electronic or documentary evidence the Officer wishes, subject only to reasonable standards of relevance and materiality, and may examine or cross-examine all witnesses called to testify at such a proceeding.

(10) Any evidence shall be presented against an Officer at any proceeding before the Commission involving an Officer, including witnesses and electronic or documentary evidence, shall be subject to reasonable standards of relevance and materiality.

(11) No person shall offer evidence at any proceeding before the Commission involving an Officer unless the person is first placed under oath in accordance with law. No person other than counsel for the Commission, or the Officer involved in a proceeding before the Commission, or the Officer's counsel, who refuses to be placed under oath may speak at any such proceeding.

(E) No person shall file a complaint against an Officer with the Commission which complaint is false, or made in bad faith, or with actual malice, or without probable

cause. In the event that such a complaint is filed with the Commission, it shall be forwarded to the Commonwealth's Attorney, together with all electronic and documentary materials related to the complaint, for action as that official may deem appropriate. In addition, the Commission may impose a penalty of up to \$250 against the complaining party for filing a sworn complaint which the commission has found to be false, or made in bad faith, or with actual malice or without probable cause, plus reasonable costs which the commission has incurred to investigate the complaining parties allegations.

(F) An Officer found guilty by the commission for violating the ethical code may bring an action in the Jefferson County Circuit Court to appeal the decision of the commission and the issues shall be tried as an original action by the circuit court.

(G) Any written complaint against a Metro Officer pending for 60 days or longer as of the date of the passage and approval of the ordinance amending this § 21.11 shall be given a hearing as provided by this section within 30 days of the passage and approval of the said ordinance, or the complaint shall be dismissed with prejudice at the termination of that period and shall not be considered by any hearing authority. All complaints pending for less than 60 days as of the date of the passage or approval of the said ordinance shall be given a hearing as provided by this section within 60 days of the passage of said ordinance.

(B) (H) A written complaint filed against a Metro Officer shall be given a hearing as provided by this ~~subchapter~~ ordinance within 60 days of the complaint being filed, or the

complaint shall be dismissed with prejudice and not be considered by any hearing authority.

§ 21.07(12) PROTECTION AGAINST REPRISAL

(A) No Metro Officer or any other employee of the Metro Government or employee of any office covered by this chapter shall subject to reprisal, or directly or indirectly use, or threaten to use, an official authority or influence, in any manner whatsoever, which tends to discourage, restrain, depress, dissuade, deter, prevent, interfere with, coerce, or discriminate against any officer or employee who in good faith reports, discloses, divulges, or otherwise brings to the attention of the Ethics Commission, any appointing authority, any law enforcement agency or its employees, or any other appropriate body or authority, any facts or information relative to an actual or suspected violation of this subchapter or any law, statute, executive order, administrative regulation, mandate, rule, or ordinance of the United States, the Commonwealth of Kentucky, or the Louisville/Jefferson County Metro Government, or any facts or information relative to actual or suspected mismanagement, waste, fraud, abuse of authority, or a substantial and specific danger to public health or safety. No Metro Officer or Metro Government employee or employee of any office covered by this chapter shall be required to give notice of any kind prior to making such a report, disclosure, or divulgence.

(B) No Metro Officer or any other employee of the Metro Government or employee of any office covered by this chapter shall subject to reprisal or discriminate against, or use any official authority or influence to cause reprisal or discrimination by others

against, any person who supports, aids, or substantiates any officer or employee who makes public any wrongdoing set forth in subsection (A).

§ 21.08(13) APPEALS

A final opinion, order, finding, or adjudication issued by the Ethics Commission under § [21.05](#)(B)(2), or otherwise, that a Metro Officer has violated any of the provisions of this subchapter may be appealed to the Jefferson District Court or the Jefferson Circuit Court by the Metro Officer affected by the opinion, order, finding, or adjudication.

§ 21.09(14) RECORDS

(A) All files, records, and documents maintained by, or in the possession of any ethics board, agency, or office under the jurisdiction of Jefferson County or the former City of Louisville shall be delivered to the Ethics Commission and thereafter maintained by the Ethics Commission.

(B) The Ethics Commission shall maintain on file for public inspection, and with respect to disclosure statements, the following documents:

(1) A copy of the Ethics Code and amendments thereto;

(2) A statement that Metro Government has established an Ethics Commission, and its composition;

(3) A copy of the form of annual statement of financial disclosure;

(4) A list of the names and offices, or positions, of all Metro Officers required to file annual disclosure statements;

(5) Copies of all transactional and annual disclosure statements filed pursuant to this Ethics Code; and

(6) The Ethics Commission must index and maintain on file for at least seven years all disclosure statements filed with it pursuant to this ordinance.

PUBLIC HOUSING AUTHORITIES

§ 21.30 DEFINITIONS

As used in this subchapter, the following definitions shall have their given definitions.

HOUSING AUTHORITY. The Housing Authority of Louisville, the Jefferson County Housing Authority, and any other public housing authority created or existing under the Louisville/Jefferson County Metro Government.

HOUSING AUTHORITY EMPLOYEE Any person employed by a housing authority whether full time or part-time, seasonal or temporary and members of the Board of a housing authority.

HOUSING AUTHORITY OFFICER The Executive Director of a housing authority, and its Deputy Executive Directors.

INTEREST. The ownership or control of any profits, assets or stock of a business. For purposes of the financial disclosure statement, housing authority officers shall list

the names and addresses of all businesses in which the housing authority officer or any member of the housing authority officer's immediate family, at any time during the preceding calendar year, had an interest, including the ownership of publicly traded securities.

§ 21.31 STANDARDS OF CONDUCT

It shall be a condition of employment of all housing authority officers and housing authority employees that they comply with the following standards of conduct for employment at all times while employed as a housing authority officer or housing authority employee:

(A) No housing authority officer or housing authority employee, or any family member, shall be employed by any business or have an interest in any business or engage in any transaction or activity which is in substantial conflict with the proper discharge of the housing authority officer's or housing authority employee's official duties or which might reasonably be expected to impair his objectivity or independence of judgment.

(B) No housing authority officer or housing authority employee shall solicit or intentionally use his/her position for the purpose of securing privileges or advantages for himself/herself or other persons which are not generally available to private citizens.

(C) No housing authority officer or housing authority employee shall accept compensation for the performance of the housing authority officer's or housing authority

employee's official duties other than the salary and wages payable to him/her by reason of his/her position.

(D) No housing authority officer or housing authority employee, in the performance of his/her official duties, shall take, or fail to take, any action in order to obtain an economic opportunity for himself/herself, a member of his/her family, a business which the officer's or employee's family has an interest or any person with whom he/she maintains a close economic or personal association.

(E) No housing authority officer or housing authority employee shall represent, negotiate, or execute documents on behalf of a public housing authority in any transaction between a public housing authority and the officer or employee, or a member of the officer or employee's family, or a business in which the officer or employee or a member of the officer or employee's family has an interest, or a business with which the officer or employee is negotiating for or seeking a position of employment.

(F) No housing authority officer or housing authority employee shall directly or indirectly solicit or accept any gift under circumstances in which it could reasonably be inferred that the gift was intended to influence, or could reasonably be expected to influence, the housing authority officer or housing authority employee in the performance of his/her official duties. There shall be a presumption that the receipt by a housing authority officer or housing authority employee of any of the following is not in violation of this subsection:

(1) Political contributions, including the purchase of tickets to, or advertisements in journals for political or testimonial dinners, if such contribution is actually received and used for political or public purposes;

(2) A usual and customary commercial loan made in the ordinary course of business;

(3) An occasional non-pecuniary award publicly presented by a nonprofit organization in recognition of the performance of a public service; or

(4) Reasonable hosting, limited to meals or refreshments furnished in connection with public events, appearances, ceremonies, or charitable events.

(G) No housing authority officer or housing authority employee shall intentionally use or disclose information obtained in the course of his/her official duties, and not otherwise generally available, for the purpose of obtaining an economic opportunity for himself/herself or for any other person.

(H) No housing authority officer or housing authority employee, a member of his/her family or a business in which the housing authority officer or housing authority employee owns or controls an interest shall undertake, execute, hold or enjoy any contract for the purchase or sale of goods, services, or real or personal property made, entered into, awarded or granted by housing authority. This prohibition shall extend to the period of one year next subsequent to the termination of office or employment.

(I) No housing authority officer or housing authority employee shall participate as a bidder or purchaser in any auctions conducted by a public housing authority.

(J) No family member of a housing authority officer or housing authority employee shall be hired by the department in which the housing authority officer or housing authority employee serves, if the housing authority officer or housing authority employee has any management authority over the position. This provision shall not apply to any person employed prior to the effective date of this subchapter, nor to any contract entered into prior to said date.

(K) No housing authority officer or housing authority employee shall be prohibited from making an inquiry for information on behalf of another person, if no fee, reward or other thing of value is promised to, given to or accepted by the covered individual or family member, whether directly or indirectly, in return therefor.

(L) Nothing herein shall prohibit any housing authority officer or housing authority employee, or family member, from representing himself/herself, or themselves, in negotiations or proceedings concerning his, or their, employment with any public housing authority.

(M) No housing authority officer or housing authority employee shall solicit, accept or agree to accept any economic opportunity upon an agreement or understanding that his/her vote, opinion, judgment, exercise of discretion or other action as a housing authority officer or housing authority employee will thereby be influenced.

(N) No housing authority officer or housing authority employee shall engage in conduct that constitutes a violation of the standards of conduct established by this section. It shall be the housing authority officer's or housing authority employee's duty to determine if a potential violation could occur, to avoid violating these standards of conduct, if possible, or where applicable, to disclose a violation or potential violation as follows:

(1) A housing authority officer or housing authority employee may seek an advisory opinion from the Louisville/Jefferson County Metro Ethics Commission to determine whether a violation occurred or could occur.

(2) If the housing authority officer or housing authority employee determines that a violation or potential violation of these standards of conduct exists, that individual shall, if possible, be screened from participating in the matter and the matter shall be assigned to another individual whose action in the matter would not constitute a violation of these standards of conduct.

(O) A housing authority officer or housing authority employee, other than in performing duties in making payments to other housing authority officers or housing authority employees as provided by law, shall not pay or offer to pay any housing authority officer or housing authority employee any compensation for the performance of official duties.

§ 21.32 FINANCIAL DISCLOSURE

(A) Housing authority officers shall be required to file financial disclosure forms in a form and at such times as shall be determined by the Louisville/Jefferson County Metro Ethics Commission [the “Ethics Commission”]; provided that the filing requirements for such officers and employees shall be no less than the requirements applicable to other officers of the Metro Government.

(B) The Ethics Commission shall be the custodian of financial disclosure forms filed by housing authority officers.

§ 21.33 COMPLAINTS

Complaints against housing authority officers or housing authority employees which allege violations of this subchapter may be filed by any person either with the public housing authority which employs the officer or employee involved; or complaints may be filed with the Ethics Commission. A complaint received by a public housing authority shall be promptly forwarded to the Ethics Commission.

§ 21.98 SEVERABILITY

If any Section or other provision of this ordinance is held by a court of competent jurisdiction to be invalid, whether in its entirety or in its application to any other person or circumstance, the invalidity shall not affect any other section or provision that can be given effect without the invalid provision or section.

§ 21.99 ENFORCEMENT; PENALTY

(A) ~~(1)~~—Upon a determination by the Ethics Commission of a violation of any of the provisions of §§ [21.01](#) through [21.09](#) ~~21.14~~ by a Metro Officer, the Ethics Commission may impose the following penalties:

~~(a)~~ (1) For any unintentional violation which has been voluntarily corrected by the officer prior to any action by the Ethics Commission, a notice of mootness shall be issued by the Ethics Commission and any complaint pending with respect to the matter shall be dismissed;

~~(b)~~ (2) For any violation which is determined by the Ethics Commission to have been unintentional or the result of a good faith misinterpretation of the requirements of this ordinance ~~§§ [21.01](#) through [21.09](#)~~, a letter of technical violation or a letter of reprimand shall be issued by the Ethics Commission as the Ethics Commission deems appropriate;

~~(c)~~ (3) For any intentional violation which is acknowledged and rectified by the officer prior to any action by the Ethics Commission, a letter of public reprimand may be issued by the Ethics Commission;

~~(d)~~ (4) For any intentional violation a letter of formal censure may be issued by the Ethics Commission.

~~(2)-(B)~~ In addition to any of the penalties set forth under § [21.99](#)(A)(1), an intentional violation of this ordinance ~~§§ [21.01](#) through [21.09](#)~~ shall be a misdemeanor for which a Metro Officer may be fined by the Ethics Commission a sum not less than \$250 nor more than \$500.

~~(3)~~ (C) In addition to any of the penalties set forth under § [21.99](#)(A)(1) and (2), an intentional violation of §§ [21.01](#) through [21.09](#) may:

~~(a)~~ (1) In the case of a non-elected Metro Officer, be grounds for other sanctions or actions by his/her appointing authority; or

~~(b)~~ (2) In the case of an elected Metro Officer, be grounds for removal under KRS 67C.143; or

~~(c)~~ (3) In the case of a Metro Council member, be grounds for other sanctions or actions by the Metro Council under its rules, or otherwise.

~~(B)~~ (D) (1) Any housing authority officer or employee who violates any provision of §§ [21.30](#) through [21.33](#) shall be subject to disciplinary action in accordance with procedures established by the Ethics Commission. Any such disciplinary action by the Ethics Commission shall not foreclose any action that the public housing authority may take with respect to the officer or employee's employment status.

~~(2)~~ (E) After written notice of a failure to timely file a statement of financial disclosure, any housing authority officer who fails to file within ten business days of such notice may be fined by the Ethics Commission a sum not less than \$25 nor more than \$500.

SECTION III: Effective Date. This ordinance shall take effect upon its passage and approval.

Kathleen J. Herron
Metro Council Clerk

David W. Tandy
President of the Council

Jerry E. Abramson
Mayor

Approval Date

APPROVED AS TO FORM AND LEGALITY:

Michael J. O'Connell
Jefferson County Attorney

BY: _____
Filed 3-9-09 ROC/ml